

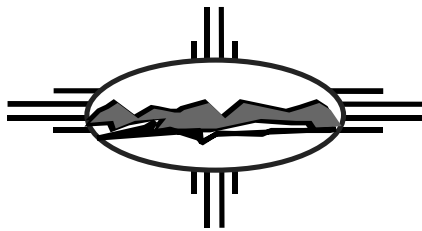
QUALITY PROCEDURE

Title: **Lead Assessor Certification and
Assessor Qualifications**

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ER PROJECT

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LOS ALAMOS NATIONAL LABORATORY

Lead Assessor Certification and Assessor Qualifications

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Lead Assessor Certification and Assessor Qualifications

NOTE: Environmental Restoration (ER) Project personnel may produce paper copies of this quality procedure printed from the controlled document electronic file. However, it is their responsibility to ensure that they are trained on and utilizing the current version of this procedure. The procedure author may be contacted if text is unclear.

1.0 PURPOSE

This Quality Procedure (QP) states the responsibilities and describes the process for certifying lead assessors and qualifying assessors within the ER Project.

2.0 DEFINITIONS

- 2.1 Assessment — The act of reviewing, inspecting, testing, checking, conducting surveillance, auditing, or otherwise determining and documenting whether items, processes, or services meet specified requirements.
- 2.2 Assessor — An individual who participates in the performance of an assessment.
- 2.3 Certification — The act of determining, verifying, and attesting in writing that the qualifications of lead assessors comply with requirements.
- 2.4 Lead Assessor — An individual who organizes and directs the performance of an assessment.
- 2.5 Qualification — The requisites (i.e., education, training, skills, or experience) that equip an individual for the position of assessor or lead assessor.

3.0 RESPONSIBLE PERSONNEL

The following personnel are responsible for activities identified in Section 4.0 of this procedure.

- 3.1 Quality Program Project Leader (QPPL)

4.0 PROCEDURE

- 4.1 Candidates for Lead Assessor Certification Not Previously Certified
The **QPPL** certifies Lead Assessor candidates in accordance with the Instructions for Lead Assessor Certification Record (Attachment A) and

documents the certification on the Lead Assessor Certification Record (Attachment B).

4.2 Certification of Candidates with Current Certification Elsewhere

To certify a Lead Assessor candidate who is currently certified under a program other than the ER Project's, the **QPPL** performs the following tasks.

4.2.1 The QPPL ensures that the individual's documented certification requirements are equivalent to those stated in Section 4.1 of this procedure.

4.2.2 The QPPL documents the certification on a Lead Assessor Certification Record (Attachment B) and attaches a copy of the previous certification documents.

4.3 Certification of Candidates with Lapsed Certification Documentation

To certify a Lead Assessor candidate who was certified previously, but whose certification documentation is not current, the **QPPL** performs the following tasks.

4.3.1 The QPPL ensures that the individual's documented certification requirements are equivalent to those stated in Section 4.1 of this procedure.

4.3.2 The QPPL ensures that the individual has maintained proficiency as described in Section 4.4.2 of this procedure.

4.3.3 The QPPL then documents the maintenance of the proficiency as described in Section 4.4 of this procedure on a Lead Assessor Certification Record (Attachment B) and on a Lead Assessor Recertification Record (Attachment C) and attaches a copy of the previous certification documents.

4.4 Maintenance of Lead Assessor Certification

4.4.1 The **QPPL** reevaluates each Lead Assessor's qualifications annually.

4.4.2 The **QPPL** ensures that the Lead Assessor has maintained proficiency through one or more of the following methods:

- regular and active participation in the assessment program (documented in accordance with QP-9.1, Work Performance Assessment);
- review and study of codes, standards, procedures, and instructions related to the quality assurance program; or
- participation in training programs that further and/or improve assessment knowledge and skills.

4.4.3 Based on the annual evaluation, the **QPPL** may extend the Lead Assessor's certification, require retraining, or require recertification. The **QPPL** documents the evaluation on the Lead Assessor Recertification Record (Attachment C).

4.4.4 The **QPPL** recertifies Lead Assessors whose proficiency has not been maintained for a period of two or more years as described in Section 4.1 of this procedure.

4.5 Assessor Qualifications

4.5.1 The **QPPL** ensures that Assessors are qualified by one or more of the following methods:

- general and specialized training in assessment performance or
- on-the-job training, guidance, and counseling under the direct supervision of a Lead Assessor.

Note: The **QPPL** will document the Assessor's certification. Documentation may be a letter to file.

5.0 RECORDS

The **QPPL** is responsible for submitting the following records (processed in accordance with QP-4.3, Records Management) to the Records Processing Facility.

5.1 Lead Assessor Certification Record

5.2 Lead Assessor Recertification Record

5.3 Documentation of previous lead assessor certification

5.4 Assessor Certification (letter to file)

6.0 TRAINING

All users of this QP are trained by self-study, and the training is documented in accordance with QP-2.2, Personnel Orientation and Training.

7.0 ATTACHMENTS

Attachment A: Instructions for Lead Assessor Certification Record (2 pages)

Attachment B: Lead Assessor Certification Record and Continuation Sheet (2 pages)

Attachment C: Lead Assessor Rectification Record (1 page)

Instructions for Lead Assessor Certification Record

To qualify as a Lead Assessor, an individual must have verifiable evidence that a minimum of 10 credits have been accumulated in accordance with items 1–4 below (attach all relevant documentation for awarded credits behind the Record form).

1. **Education (4 credits maximum)** — Credits are assigned as follows for degree(s) awarded by an accredited institution:
 - one credit for an Associate Degree; OR
 - two credits for an Associate Degree with emphasis in science, engineering, mathematics, or quality assurance; OR
 - two credits for a Bachelor's Degree; OR
 - three credits for a Bachelor's Degree in science, engineering, mathematics or quality assurance; AND
 - one additional credit for an advanced degree in physical sciences, engineering, business management, or quality assurance.
2. **Experience (9 credits maximum)** — One credit is awarded for each full year of technical experience in science, engineering, manufacturing, construction, and/or facility operation or maintenance with a maximum of five credits to be awarded for this experience; AND
 - if two or more years of this experience have been in the nuclear field, award one additional credit; OR
 - if two or more years of this experience have been in quality assurance, award two additional credits; OR
 - if two or more years of this experience have been in assessing, award four additional credits; OR
 - if two or more years of this experience have been in nuclear assessing, award four additional credits.
3. **Professional Accomplishments (2 credits maximum)** — A maximum of two credits are awarded for certification of competency in science, engineering, or quality-assurance specialties issued and approved by a state agency or national professional or technical society, such as
 - ISO Registration for Assessor or Lead Assessor,
 - ASQ for Certified Quality Engineers or Certified Quality Assessor, or
 - Professional Engineering Registration.
4. **Rights of Management (2 credits maximum)** — The QPPL may score a maximum of two additional credits. For attributes such as leadership, sound judgment, maturity, analytical ability, tenacity, past performance, and assessor training courses.

5. Total Points — Enter the cumulative point total from the first four categories.
 6. Assessment Training — List any applicable assessment training courses the candidate has attended.
 7. Assessment Participation — Prospective Lead Assessors must have participated in a minimum of five assessments with one assessment as a Lead Assessor in training. These five assessments must have been within a period of time not to exceed three years before certification.
 8. Assessment Communication Skills — Lead Assessors must have the capability to communicate effectively, both in writing and orally.
 9. Examination — Prospective Lead Assessors must pass an examination (with a grade of 80% or greater) that demonstrates a comprehension of and ability to apply the assessment process (oral, written, practical, or a combination thereof).
- Note:** Lead Assessors who have and/or are currently certified under a program other than the ER Project's, are exempted from this criteria.
10. Lead Assessor Qualification Certified by — Insert the name and signature of the individual who performed the certification and the date of the certification.

Lead Assessor Certification Record

Lead Assessor's Name (Print): _____

Employer: _____

Qualification Point Requirements			Credits																																
1. Education: University / Degree / Date <input type="checkbox"/> Undergraduate Level / / <input type="checkbox"/> Graduate Level / /	4 credits maximum		_____																																
2. Experience: Company / Dates Employed <input type="checkbox"/> Technical (0–5 credits) or / <input type="checkbox"/> Nuclear Industry (0–1 credits) or / <input type="checkbox"/> Quality Assurance (0–2 credits) or / <input type="checkbox"/> Auditing (0–4 credits) /	9 credits maximum		_____																																
3. Professional Accomplishment: Certification / Date <input type="checkbox"/> Registration / <input type="checkbox"/> Society /	2 credits maximum		_____																																
4. Management: Justification / Evaluation / Date Explain: _____	2 credits maximum		_____																																
Evaluated by: _____ Title: _____ Date: _____																																			
5. Total Qualification Points Awarded																																			
6. Assessor Training Courses (Course Title or Topics): Auditor Training: _____ Date: _____																																			
7. Assessment Participation <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;">Locations</th> <th style="width: 20%;">Audit Identifiers</th> <th style="width: 20%;">Nuclear</th> <th style="width: 20%;">Dates</th> </tr> </thead> <tbody> <tr><td></td><td></td><td style="text-align: center;"><input type="checkbox"/></td><td></td></tr> <tr><td></td><td></td><td style="text-align: center;"><input type="checkbox"/></td><td></td></tr> <tr><td></td><td></td><td style="text-align: center;"><input type="checkbox"/></td><td></td></tr> <tr><td></td><td></td><td style="text-align: center;"><input type="checkbox"/></td><td></td></tr> <tr><td></td><td></td><td style="text-align: center;"><input type="checkbox"/></td><td></td></tr> <tr><td></td><td></td><td style="text-align: center;"><input type="checkbox"/></td><td></td></tr> <tr><td></td><td></td><td style="text-align: center;"><input type="checkbox"/></td><td></td></tr> </tbody> </table>				Locations	Audit Identifiers	Nuclear	Dates			<input type="checkbox"/>				<input type="checkbox"/>				<input type="checkbox"/>				<input type="checkbox"/>				<input type="checkbox"/>				<input type="checkbox"/>				<input type="checkbox"/>	
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8. Assessment Communication Skills Evaluated by: _____ Title: _____ Date: _____																																			
9. Examination: Type (oral, written, practical, or the indicated combination): _____ Date Passed: _____																																			
10. Lead Assessor Qualification Certified by: Name: _____ <div style="display: flex; justify-content: space-between; width: 100%;"> Signature Print Name and Title Date </div>																																			
Annual Evaluation																																			
Signature	Date	Signature	Date																																
QP-10.2		Los Alamos Environmental Restoration Project																																	

Lead Assessor Certification Record

(Continuation Sheet Page _____ of _____)

Name of Certified Individual:

[illegible]

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Environmental Restoration Project

Lead Assessor Recertification Record

I. Evaluation Results:

- ☐ Extend certification (check applicable boxes in Section II below)
- ☐ Retrain and extend certification
- ☐ Recertify

Comments:

II. Method of Recertification (attach pertinent documentation)

- ☐ Regular and active participation in the assessment program (documented in accordance with QP-9.1, Work Performance Assessment).
- ☐ Review and study of codes, standards, procedures, and instructions related to quality assurance program.
- ☐ Participation in training programs that further and/or improve assessment knowledge and skills.

III. Recertified by:

Print Name:

Signature:

Date:

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